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PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR § 1.53(b))

Attorney Docket No. 0652.1910001/EKS/PSC/PAC
First Inventor Heider, Karl-Heinz
Title Method for Diagnosis and Therapy of Hodgkin's Lymphomas (As Amended Herein)
Express Mail Label No.

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)

2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.

3. ☒ Specification [Total Pages 43]
(preferred arrangement set forth below)
- Descriptive title of the Invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table,
or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 3]

5. Oath or Declaration [Total Pages 4]
a. ☐ Newly executed (original or copy)
b. ☒ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 18 completed)

i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR §§
1.63(d)(2) and 1.33(b).

6. ☒ Application Data Sheet. See 37 CFR 1.76.

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program
(Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)

a. ☒ Computer Readable Form (CRF) (Request to Open New Disk File
from substitute Sequence Listing in parent appl.)

b. Specification Sequence Listing on:

i. ☐ CD-ROM or CD-R (2 copies); or

ii. ☒ paper (substitute Sequence Listing from parent appl.)

c. ☒ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))

10. ☐ 37 CFR 3.73(b) Statement [Power of Attorney
(when there is an assignee)]

11. ☐ English Translation Document (if applicable)

12. ☐ Information Disclosure Statement (IDS)/PTO-1449 [Copies of IDS
Citations]

13. ☒ Preliminary Amendment

14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)

15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)

16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach
form PTO/SB/35 or its equivalent.

17. ☒ Other: Authorization Under 37 C.F.R. § 1.136(a)(3) (in duplicate)

☒ Other: Letter to PTO Draftsman: Submission of Formal Drawings

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment,
or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-Part (CIP)
Prior application information: Examiner Helms, L.

of prior application No: 09/331,254
Group/Art Unit: 1642

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is
considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only
be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

Customer No. 26111

(Insert Customer No. or Attach bar code label here)

or ☐ Correspondence address below

NAME STERNE, KESSLER, GOLDSTEIN & FORTNEY
Attorneys at Law

ADDRESS

CITY

STATE

ZIP CODE

COUNTRY

TELEPHONE

FAX

NAME (Print/Type) Eric K. Steffe Registration No. (Attorney/Agent) 36,688

SIGNATURE Eric K. Steffe Date 1/23/02

Burden Hour Statement: this form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount
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SKGF Rev 3/29/01 mac appl, pto cvr.wpd

**FEE TRANSMITTAL
for FY 2002**

Patent fees are subject to annual revision.

Complete if Known

Application Number	To be assigned
Filing Date	HEREWITH
First Named Inventor	Heider, Karl-Heinz
Examiner Name	To be assigned
Group Art Unit	To be assigned
Attorney Docket No.	0652.1910001/EKS/PSC/PAC

TOTAL AMOUNT OF PAYMENT (\$)**740.00****METHOD OF PAYMENT (check one)**

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:

Deposit Account
Number

19-0036

Deposit Account
Name

Sterne, Kessler, Goldstein & Fox P.L.L.C.

- ☐ Charge Any Additional Fee Required
Under 37 CFR §§ 1.16 and 1.17

- ☐ Applicant claims small entity status
See 37 CFR 1.27

2. ☒ Payment Enclosed

- ☒ Check ☐ Credit card ☐ Money Order ☒ Other*
*Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No. 19-0036.

FEE CALCULATION**1. BASIC FILING FEE**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	740.00
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	
SUBTOTAL (1) (\$)					740.00

2. EXTRA CLAIM FEES

	Extra	Fee from below	Fee Paid
Total Claims <u>6</u> - 20** = <u>0</u>	X <u>0</u>	= <u>0</u>	
Indep. Claims <u>1</u> - 3** = <u>0</u>	X <u>0</u>	= <u>0</u>	
Multiple Dependent	<u>0</u>	= <u>0</u>	

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim
108	84	209	42	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 740.00

** or number previously paid, if greater; For Reissues, see above

3. ADDITIONAL FEES

Large Entity Small Entity

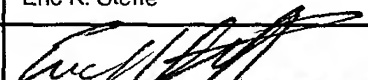
Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	130	123	130	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	481	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify):

Other fee (specify):

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)**SUBMITTED BY****Complete (if applicable)**

Name (Print/Type)	Eric K. Steffe	Registration No. (Attorney/Agent)	36,688	Telephone	202-371-2600
Signature		Date	1/23/02		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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SKGP Rev. 10/01/01 mmac

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

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*LIMITED TO MATTERS
AND PROCEEDINGS BEFORE
FEDERAL COURTS & AGENCIES
**REGISTERED PATENT AGENT
***SENIOR COUNSEL

January 23, 2002

WRITER'S DIRECT NUMBER:
(202)371-2625

INTERNET ADDRESS:
ESTEFFE@SKGF.COM

Commissioner for Patents
Washington, D.C. 20231

Box Patent Application

Re: U.S. Non-Provisional Utility Patent Application under 37 C.F.R. § 1.53(b)
Appl. No. To Be Assigned (Continuation of Appl. No. 09/331,254; § 371 Date
December 21, 1999); Filed: Herewith
For: **Method for Diagnosis and Therapy of Hodgkin's Lymphomas (As
Amended Herein)**
Inventors: Heider *et al.*
Our Ref: 0652.1910001/EKS/PSC/PAC

Sir:

The following documents are forwarded herewith for appropriate action by the U.S.
Patent and Trademark Office:

1. PTO Fee Transmittal (Form PTO/SB/17) (*in duplicate*);
2. PTO Utility Patent Application Transmittal (Form PTO/SB/05);
3. Letter to PTO Draftsman: Submission of Formal Drawings (*in duplicate*);
4. Three (3) sheets of Formal Drawings: (Figures 1A/1B, 2 and 3);
5. Preliminary Amendment (Claims newly added 17-23);

Commissioner for Patents

January 23, 2002

Page 2

6. U.S. Utility Patent Application entitled:

Method for Diagnosis and Therapy of Hodgkin's Lymphomas (As Amended Herein)

and naming as inventors:

Karl-Heinz HEIDER
Kurt ZATLOUKAL
Christine BEHAM-SCHMID

the application consisting of:

- a. A specification containing:
- a. 39 pages of description prior to the claims, including a sequence listing on pages 36 to 39;
 - b. 3 pages of claims (1-16 claims);
 - c. a one (1) page abstract;
- b. 3 sheets of drawings: (Figures 1A/1B, 2 and 3);
- c. Request to Open New Disk File;
- d. 2 pages of a paper copy of the substitute sequence listing filed June 12, 2000 in parent application no. 09/331,254;
- e. A copy of the executed Declaration, as filed in U.S. Appl. No. 09/331,254;
- f. Our check No. 33912 for \$ 740.00 to cover: \$ 740.00 filing fee for patent application;
- g. Application Data
7. Authorization to Treat a Reply As Incorporating An Extension of Time Under 37 C.F.R. § 1.136(a)(3) (*in duplicate*); and
8. Two (2) return postcards.

Commissioner for Patents

January 23, 2002

Page 3

In accordance with 37 C.F.R. § 1.821(f), the paper copy of the sequence listing and the computer readable copy of the sequence listing submitted herewith are the same.

It is respectfully requested that, of the two attached postcards, one be stamped with the filing date of these documents and returned to our courier, and the other, prepaid postcard, be stamped with the filing date and unofficial application number and returned as soon as possible.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036. A duplicate copy of this letter is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Eric K. Steffe
Attorney for Applicant
Registration No. 36,688

EKS/PSC/PAC/jcb

Enclosures

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

HEIDER *et al.*

Appl. No. To Be Assigned (Continuation of
Appl. No. 09/331,254; § 371 Date: December 21,
1999)

Filed: HERewith

For: **Method for Diagnosis and
Therapy of Hodgkin's
Lymphomas** (As Amended Herein)

Confirmation No. *To Be Assigned*

Art Unit: *To Be Assigned*

Examiner: *To Be Assigned*

Atty. Docket: 0652.1910001/EKS/PSC/PAC

Request to Open New Disk File

Commissioner for Patents
Washington, D.C. 20231

Sir:

Applicants request that a new disk file be opened for the above-cited application. The **substitute** Sequence Listing disk submitted on **June 12, 2000** in the parent, Application No. **09/331,254**, filed **December 21, 1999** contains the identical sequence information as that in the present application. Applicants also submit herewith a paper copy of the substitute sequence listing for the present application, along with a copy of the PTO date-stamped postcard dated June 12, 2000. The paper copy of the sequence listing and the computer readable copy are the same and do not introduce new matter.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Eric K. Steffe
Attorney for Applicants
Registration No. 36,688

Date: 1/23/02

1100 New York Avenue, N.W.
Suite 600
Washington, D.C. 20005-3934
(202) 371-2600

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

HEIDER *et al.*

Appl. No. To Be Assigned (Continuation of
Appl. No. 09/331,254; § 371 Date: December 21,
1999)

Filed: HERewith

For: **Method for Diagnosis and
Therapy of Hodgkin's
Lymphomas** (As Amended Herein)

Confirmation No. *To Be Assigned*

Art Unit: *To Be Assigned*

Examiner: *To Be Assigned*

Atty. Docket: 0652.1910001/EKS/PSC/PAC

J1017 U.S. PTO
10/052641



Letter to PTO Draftsman: Submission of Formal Drawings

Commissioner for Patents
Washington, D.C. 20231

Sir:

Submitted herewith are three sheets of formal drawings with Figures 1A/1B, 2 and 3, corresponding to the informal drawings submitted with the above-captioned application. Identification of the drawings is provided in accordance with 37 C.F.R. § 1.84(c). Acknowledgment of the receipt, approval, and entry of these formal drawing(s) into this application is respectfully requested.

It is not believed that an extension of time is required, other than any already provided herewith. However, if an extension of time is needed to prevent abandonment of the application, then such extension of time is hereby petitioned. The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036. A duplicate copy of this Letter is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Eric K. Steffe
Attorney for Applicants
Registration No. 36,688

Date: 1/23/02

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